

01/11/02

1032 U.S. PTO

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PTO/SB/05 (03-01)  
Approved for use through 10/31/2002. OMB 0651-0032  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. BB1367 US CNT  
First Inventor RAFAEL HERRMANN ET AL.  
Title SCORPION TOXINS  
Express Mail Label No. EF117003701US

J1 011 U.S. PTO  
10/044359  
01/11/02

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 35]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 8]  
5. Oath or Declaration [Total Pages 1]  
a. ☐ Newly executed (original or copy)  
b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)  
i. ☒ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)  
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☒ paper  
c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9. ☐ Assignment Papers (cover sheet & document(s))  
10. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of  
(when there is an assignee) Attorney  
11. ☐ English Translation Document (if applicable)  
12. ☒ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations  
13. ☒ Preliminary Amendment  
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)  
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)  
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.  
17. ☒ Other: Request for Transfer of CRF

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)  
which is a non-provisional of provisional application 60/140227 filed June 22, 1999.

of prior application No: 09 / 599416 Filed on 6/22/00

Prior application information: Examiner J. Goldberg

Group / Art Unit: 1655

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied  
under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

23906

PATENT TRADEMARK OFFICE

or ☐ Correspondence address below

Name

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

PAUL D. GOLIAN

Registration No. (Attorney/Agent)

42,591

Signature

Date

1/11/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the  
amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO  
NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

<h2 style="margin: 0;">FEE TRANSMITTAL</h2> <h3 style="margin: 0;">for FY 2002</h3> <p style="margin: 5px 0 0 40px;"><i>Patent fees are subject to annual revision.</i></p>		<p><b>Complete if Known</b></p>													
<input type="checkbox"/> Applicant Claims small entity status. See 37 CFR 1.27		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Application Number</td> <td>UNKNOWN</td> </tr> <tr> <td>Filing Date</td> <td>JANUARY 11, 2002</td> </tr> <tr> <td>First Named Inventor</td> <td>RAFAEL HERRMANN ET AL.</td> </tr> <tr> <td>Examiner Name</td> <td>UNKNOWN</td> </tr> <tr> <td>Group / Art Unit</td> <td>UNKNOWN</td> </tr> <tr> <td>Attorney Docket No.</td> <td>BB1367 US CNT</td> </tr> </table>		Application Number	UNKNOWN	Filing Date	JANUARY 11, 2002	First Named Inventor	RAFAEL HERRMANN ET AL.	Examiner Name	UNKNOWN	Group / Art Unit	UNKNOWN	Attorney Docket No.	BB1367 US CNT
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<p><b>METHOD OF PAYMENT (check all that apply)</b></p> <p> <input type="checkbox"/> Check                    <input type="checkbox"/> Credit card                    <input type="checkbox"/> Money Order                    <input type="checkbox"/> Other                    <input type="checkbox"/> None             </p> <p><input checked="" type="checkbox"/> Deposit Account:</p> <table style="width: 100%;"> <tr> <td style="width: 20%;">Deposit Account Number</td> <td>04-1928</td> </tr> <tr> <td>Deposit Account Name</td> <td>E. I. du Pont de Nemours and Company</td> </tr> </table> <p>The Commissioner is authorized to: (check all that apply)</p> <p> <input checked="" type="checkbox"/> Charge fee(s) indicated below                    <input checked="" type="checkbox"/> Credit any overpayments  <input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application  <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account             </p>					Deposit Account Number	04-1928	Deposit Account Name	E. I. du Pont de Nemours and Company	<p><b>FEE CALCULATION (continued)</b></p>																																																																																																																																																																																																																																												
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<p><b>SUBMITTED BY</b></p>				<p><b>Complete (if applicable)</b></p>	
Name (Print/Type)	PAUL D. GOLIAN	Registration No. Attorney/Agent	42,591	Telephone	302-992-3749
Signature				Date	1/11/02

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN THE APPLICATION OF:

RAFAEL HERRMANN ET AL.

CASE NO.: BB1367 US CNT

APPLICATION NO.: UNKNOWN

GROUP ART UNIT: UNKNOWN

FILED: CONCURRENTLY HEREWITH

EXAMINER: UNKNOWN

FOR: SCORPION TOXINS

J1011 U.S. PTO  
10/04359  
01/11/02

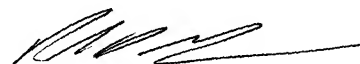
REQUEST FOR TRANSFER OF COMPUTER READABLE FORM

Commissioner of Patents and Trademarks  
Washington, DC 20231

Sir:

The paper copy of the Sequence Listing in this application is identical to the computer readable copy of the Sequence Listing filed in Application No. 09/599,416 filed June 22, 2000. In accordance with 37 C.F.R. 1.821(e), please use the only computer readable form filed in that application as the computer readable form for the instant application. It is understood that the Patent and Trademark Office will make the necessary change in application number and filing date for the instant application. A paper copy of the Sequence Listing is included in the originally-filed specification of the instant application.

Respectfully submitted,

  
PAUL D. GOLIAN  
ATTORNEY FOR APPLICANTS  
REGISTRATION NO. 42,591  
TELEPHONE: 302-992-3749  
FACSIMILE: 302-892-1026

Dated: 1/11/02



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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**AMENDMENT AND PETITION**  
**TO CORRECT INVENTORSHIP UNDER 37 C.F.R. 1.48(b)**

Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

The prosecution of this application has resulted in the cancellation of claims so that less than all the originally named inventors are the actual inventors of the invention being claimed.

Please amend this application to delete Jian-Ming Lee as co-inventor(s). Jian-Ming Lee is being deleted as a co-inventor for this application because his invention is no longer being claimed in the application.

Please charge the required fee under 37 CFR 1.17(h) of \$130.00 to Deposit Account 04-1928 (E. I. du Pont de Nemours and Company). If this fee is insufficient or incorrect, please charge or credit the balance to the above-identified account.

01/18/2002 MMEKONEN 00000012 10044359

01-FE:401 740.00 CH~  
02-FC:122 130.00 CH

Respectfully submitted,

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DATED: 1/11/02